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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: CAI et al. Docket No.: 00980.1117-US-U1

Serial No.: To Be Assigned

Filed: September 8, 2003

Title: SEMICONDUCTOR OPTICAL DEVICE HAVING ASYMMETRIC RIDGE  
WAVEGUIDE AND METHOD OF MAKING SAME

CERTIFICATE UNDER 37 C.F.R. 1.10:

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The undersigned hereby certifies that this Transmittal Letter and the paper or fee, as described herein, are being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450.

By: Cheryl Millman  
Cheryl Millman

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

- Patent application including 12 pages of specification, 9 pages of claims, 6 sheets of drawings and 1 page of abstract
- Unsigned Declaration and Power of Attorney
- Information Disclosure Statement, Form 1449
- Transmittal Sheet
- Return postcard

**Filing Fees are being deferred**

Assignee Information for Publication Purposes

Assignee Name: ADC Telecommunications, Inc.

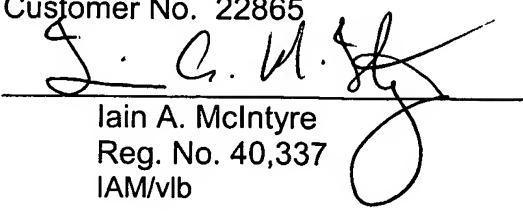
Assignee Residence: Eden Prairie, Minnesota

Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account Number 50-1038.

Respectfully submitted,

Altera Law Group, LLC  
Customer No. 22865

By:

  
Iain A. McIntyre  
Reg. No. 40,337  
IAM/vlb

Date: September 8, 2003